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Atty Docket No. 020425-117300US

PTO FAX NO.: 1-571-273-8300

ATTENTION: Examiner Narayanswamy Subramanian

Group Art Unit 3691

OFFICIAL COMMUNICATION
FOR THE PERSONAL ATTENTION OF
EXAMINER Narayanswamy Subramanian

CERTIFICATION OF FACSIMILE TRANSMISSION

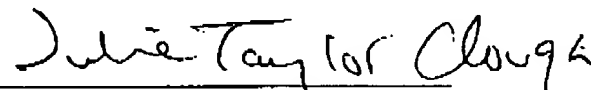
I hereby certify that the following documents in re Application of Bradley J. Swearingen, et al., Application No. 09/663,151, filed September 15, 2000 for METHOD AND SYSTEM FOR EXECUTING TRADES IN A USER PREFERRED SECURITY are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Documents Attached

1. Power of Attorney
2. Statement under 37 CFR 3.73(b)

Number of pages being transmitted, including this page: 3

Dated: October 22, 2008


Julie Taylor Clough

**PLEASE CONFIRM RECEIPT OF THIS PAPER BY
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3045

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PTO/SB/80 (04-05)

POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

☒ Practitioners associated with the Customer Number:

20350

OR

☐ Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number	Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:

☒ The address associated with Customer Number:

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OR

<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone			Email


Assignee Name and Address:

Charles Schwab & Co., Inc.
101 Montgomery St.
San Francisco, CA 94104

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

SIGNATURE of Assignee of Record

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature		Date	12/20/06
Name	Yusuf Cassim	Telephone	(415) 636-3499
Title	Vice President and Associate General Counsel		

60943716 v1

PTO/SO/96 (12-06)

Attorney Docket No. 020425-117300US

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Bradley J. Swearingen, et al.Application No./Patent No./Control No.: 09/663,151 Filed/Issue Date: September 15, 2000Entitled: Method and System for Executing Trades in a User Preferred SecurityCharles Schwab & Co., Inc.

(Name of Assignee)

, a corporation

(Type of Assignee: corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
(The extent (by percentage) of its ownership interest is _____ %)

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 011100, Frame 0632, a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.
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- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

As required by 37 CFR 3.73(b)(1)(I), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (~~whose title is supplied below~~) is authorized to act on behalf of the assignee.

Patrick R. Jewik
Signature

Patrick R. Jewik

Printed or Typed Name

Attorney for Assignee

Title

10/21/08
Date

415-576-0200

Telephone Number

61617322 v1